

PCT

FORM PTO-1390 (REV 11-98)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 36-1410
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) 09/763325 Unknown
INTERNATIONAL APPLICATION NO. PCT/GB99/03114	INTERNATIONAL FILING DATE 17 September 1999	PRIORITY DATE CLAIMED 18 September 1998
TITLE OF INVENTION MULTICASTING		
APPLICANT(S) FOR DO/EO/US EVANS et al		

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
- ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
 - ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - ☒ has been transmitted by the International Bureau.
 - ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
- ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - ☐ have been transmitted by the International Bureau.
 - ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
 - ☐ have not been made and will not be made.
- ☐ A translation of the amendments to the claims under PCT Article 19 (U.S.C. 371(c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. To 16. Below concern document(s) or information included:

- ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
- ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
- ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
- ☐ A substitute specification.
- ☐ A change of power of attorney and/or address letter.
- ☒ Other items or information. **Amended Sheets attached to IPER, pages 1 through 7a and 16 through 19**
☐ This application is entitled to "Small entity" status. ☐ "Small entity" statement attached.

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.55) Unknown	INTERNATIONAL APPLICATION NO. PCT/GB99/03114	ATTORNEY'S DOCKET NUMBER 36-1410
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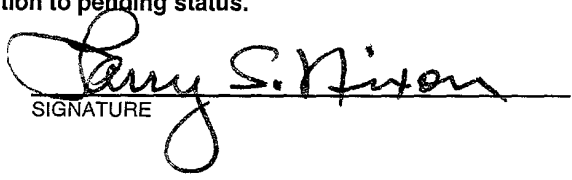
17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5): -- Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO\$1000.00 -- International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO\$860.00 -- International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO\$710.00 -- International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)\$690.00 -- International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4)\$100.00 <div style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div> <div style="display: flex; justify-content: flex-end; align-items: center;"> <div style="border: 1px solid black; padding: 2px 10px;">\$</div> <div style="border: 1px solid black; padding: 2px 10px;">860.00</div> </div> Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)). <div style="display: flex; justify-content: flex-end; align-items: center;"> <div style="border: 1px solid black; padding: 2px 10px;">\$</div> <div style="border: 1px solid black; padding: 2px 10px;">0.00</div> </div> <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:20%;">CLAIMS</th> <th style="width:15%;">NUMBER FILED</th> <th style="width:15%;">NUMBER EXTRA</th> <th style="width:15%;">RATE</th> <th style="width:15%;"></th> <th style="width:15%;"></th> </tr> </thead> <tbody> <tr> <td>Total Claims</td> <td>12</td> <td>-20 =</td> <td>0</td> <td>X</td> <td>\$18.00</td> </tr> <tr> <td>Independent Claims</td> <td>2</td> <td>-3 =</td> <td>0</td> <td>X</td> <td>\$80.00</td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIMS(S) (if applicable)</td> <td></td> <td>\$270.00</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL OF ABOVE CALCULATIONS =</td> <td></td> <td>\$ 860.00</td> </tr> </tbody> </table> Reduction by 1/2 for filing by small entity, if applicable. Small entity status must also be asserted. (Note 37 C.F.R. 1.9, 1.27, 1.28). <div style="display: flex; justify-content: flex-end; align-items: center;"> <div style="border: 1px solid black; padding: 2px 10px;">\$</div> <div style="border: 1px solid black; padding: 2px 10px;">0.00</div> </div> <div style="display: flex; justify-content: flex-end; align-items: center;"> <div style="border: 1px solid black; padding: 2px 10px;">SUBTOTAL =</div> <div style="border: 1px solid black; padding: 2px 10px;">\$ 860.00</div> </div> Processing fee of \$130.00, for furnishing the English Translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f)). <div style="display: flex; justify-content: flex-end; align-items: center;"> <div style="border: 1px solid black; padding: 2px 10px;">\$</div> <div style="border: 1px solid black; padding: 2px 10px;">0.00</div> </div> <div style="display: flex; justify-content: flex-end; align-items: center;"> <div style="border: 1px solid black; padding: 2px 10px;">TOTAL NATIONAL FEE =</div> <div style="border: 1px solid black; padding: 2px 10px;">\$ 860.00</div> </div> Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property + <div style="display: flex; justify-content: flex-end; align-items: center;"> <div style="border: 1px solid black; padding: 2px 10px;">\$</div> <div style="border: 1px solid black; padding: 2px 10px;">40.00</div> </div> Fee for Petition to Revive Unintentionally Abandoned Application (\$1240.00 - Small Entity = \$620.00) <div style="display: flex; justify-content: flex-end; align-items: center;"> <div style="border: 1px solid black; padding: 2px 10px;">\$</div> <div style="border: 1px solid black; padding: 2px 10px;">0.00</div> </div> <div style="display: flex; justify-content: flex-end; align-items: center;"> <div style="border: 1px solid black; padding: 2px 10px;">TOTAL FEES ENCLOSED =</div> <div style="border: 1px solid black; padding: 2px 10px;">\$ 900.00</div> </div> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:65%;"></td> <td style="width:15%; text-align: center;">Amount to be:</td> <td style="width:15%;"></td> </tr> <tr> <td></td> <td style="text-align: center;">refunded</td> <td style="text-align: center;">\$</td> </tr> <tr> <td></td> <td style="text-align: center;">Charged</td> <td style="text-align: center;">\$</td> </tr> </table>	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			Total Claims	12	-20 =	0	X	\$18.00	Independent Claims	2	-3 =	0	X	\$80.00	MULTIPLE DEPENDENT CLAIMS(S) (if applicable)					\$270.00	TOTAL OF ABOVE CALCULATIONS =					\$ 860.00		Amount to be:			refunded	\$		Charged	\$	CALCULATIONS PTO USE ONLY
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a. ☒ A check in the amount of \$900.00 to cover the above fees is enclosed.
 b. ☐ Please charge my Deposit Account No. 14-1140 in the amount of \$_____ to cover the above fees. A duplicate copy of this form is enclosed.
 c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1140. A duplicate copy of this form is enclosed.
 d. ☐ The entire content of the foreign application(s), referred to in this application is/are hereby incorporated by reference in this application.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

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 REGISTRATION NUMBER

February 21, 2001
 Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

EVANS et al

Atty. Ref.: **36-1410**

Serial No. **Unknown**

Group:

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For: **MULTICASTING**

* * * * *

February 21, 2001

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

PRELIMINARY AMENDMENT

Prior to calculation of the filing fee and in order to place the above identified application in better condition for examination, please amend the claims as follows:

IN THE CLAIMS (AS ON AMENDED SHEETS)

Claim 6, line 1, delete "or 5".

Claim 8, line 1, delete "any preceding" and after "claim" insert -- 1 --.

Claim 11, line 5, delete "any one of claims 1 to 8" and insert -- claim 1 --.

Claim 12, line 2, delete "any one of clams 1 to 8" and insert -- claim 1 --.

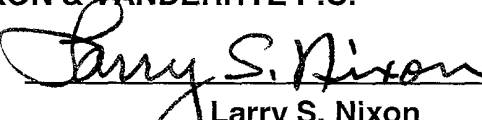
REMARKS

The above amendments are made to place the claims in a more traditional format.

Respectfully submitted,

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MULTICASTING

The present invention relates to a method of operating a transmitter to multicast data blocks over a network.

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In network terminology, sending a data block (i.e. a message, packet, frame or the like) across a network to a single recipient is known as unicasting. Sending a data block to all receivers connected to a network is known as broadcasting. Sending a data block to a set of recipients that form a subset of all receivers connected to a network is referred to as multicasting. Such a set of recipients is known as a multicast group.

10

In broadcast networks (e.g. nearly all Local Area Networks), all receivers receive any data block placed the network. Each receiver has a network interface card that identifies frames that are intended for that receiver. In order to identify which multicast data blocks are intended for that receiver, the network interface card must store an indication of each multicast address for which the receiver is a recipient.

15

In networks comprising switching nodes interconnected by point-to-point links, each switching node must store, for each multicast group, an indication of which of the links connected to it lead toward members of the multicast group.

20

In both types of networks therefore, the amount of memory required in network components increases with the number of multicast addresses in use.

25

Conventional use of multicast networks often results in the use of more multicast addresses than is necessary. Furthermore, the amount of traffic generated in passing one or more multicast messages across the network is often unnecessarily high.

30

European Patent Application EP 0 854 604 A1 discloses a fast packet switching network that provides interconnection for peer networks that support group addressing.

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Although the use of multicasting is currently at a level where the above problems do not impact heavily on network performance, a rapid rise in the use of multicast is likely to take place over the next few years. This means that there is a need to
5 provide a more efficient way of using networks that provide a multicast capability.

According to a first aspect of the present invention, there is provided a method of operating a transmitter of data blocks connected via a network to a plurality of receivers of said data blocks, said method comprising:

10

finding the set of recipients to which a data block is to be sent; and

transmitting said data block over said network to said set of recipients;

15 said method being characterised by:

said network being multicast-capable;

20 said transmitter having access to one or more directories listing sets of recipients selected from said receivers and corresponding multicast addresses for use in said multicast-capable network;

examining said one or more directories to find respective one or more multicast addresses corresponding to the set of recipients found in said examining step;

25

addressing one or more data blocks to the respective multicast addresses found in said examining step.

30 By having one or more directories that list possible selections of recipients and corresponding multicast addresses, multicast data blocks can be addressed based on the set of recipients to which it is found the data block is to be sent. This leads to the process of multicasting a data block being more easily adaptable to the requirements of different users.

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For groups with only one member, the directories can provide a unicast address instead of a multicast address.

To give an example, in some embodiments of the present invention, said finding
5 step comprises:

- a) receiving one or more indications that an earlier data block addressed to a selected set of recipients was not successfully received by one or more of said recipients; and
- b) analysing said indications to find the subset of said selected set of recipients
10 that did not successfully receive said earlier data block;
wherein said examining step involves examining said one or more directories to find the multicast address corresponding to said subset of recipients.

- By finding the set of recipients that require re-transmission of the data block, and
15 then finding from the one or more directories the multicast address that corresponds to that set of recipients, the re-transmission can easily be directed only towards those recipients that failed to receive the earlier data block. This results in less load being placed on the network than would occur in accordance with conventional methods where the data block is re-transmitted to the same
20 multicast address as before once one or more recipients have indicated that they have not received the data block.

- To give another example of the improved adaptability provided by operating the transmitter in accordance with the present invention, in some embodiments said
25 finding step involves:
- a) determining that a general data block is to be sent to a selected plurality of sets of recipients; and
 - b) unifying said plurality of sets of recipients to find a unified set of recipients;
wherein said examining step involves examining said one or more directories to
30 find from said address data the multicast address which corresponds to said unified set.

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In this case only one multicast message need be sent across the network, as opposed to the plurality of multicast messages that would have to be sent using a conventional method.

- 5 It is to be expected that 'push' news services, Publish and Subscribe services and the like will soon migrate to the use of multicasting. 'Push' news services normally allow a user to select subjects of interest. One way of achieving the bandwidth savings offered by the use of multicast (whilst allowing a user to be selective as to which subjects he received) would be to allocate a multicast
- 10 address to each subject. However, given the large number of possible subjects this method would result in the components of the network having to handle a large number of multicast addresses.

- To address this problem, in a further embodiment of the present invention, said
- 15 transmitter further has access to type data listing data block type identifiers and corresponding sets of recipients, and said finding step involves:

- a) finding a type identifier associated with said data block; and
- b) examining said type data to find the set of recipients associated with said type identifier.

20

The transmitter might update the type data in response to a request from a recipient to be sent data blocks containing a given type identifier, or in response to a request not to receive any further data blocks containing that type identifier.

- 25 The data block type identifier might, for example, indicate to which subject the information carried in the data block relates. In conventional methods of operating a transmitter to use a multicast-capable network, a one-to-one subject-to-multicast address mapping is used. However, it will be seen that the above embodiment enables a many-to-one subject-to-multicast address mapping to be used instead.
- 30 In networks where the number of selections of recipients is less than the number of subjects, the number of multicast addresses that must be handled by the network is reduced.

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It is even possible to utilise the present invention to reduce the number of multicast addresses that must be handled by a network where the number of possible sets of recipients is very high (it will be realised that the number of sets of recipients grows exponentially with the number of receivers).

5

One way of achieving this is to divide the recipients into groups and provide a separate directory for each group. The number of multicast addresses required then grows exponentially with the number of receivers in each group, rather than growing exponentially with the number of receivers connected to the network.

10

Another way of achieving this is to provide, in accordance with a second aspect of the present invention, a method of operating an internetwork, said internetwork comprising:

a first level source of data blocks connected via a first level network to a plurality
15 of first level network receivers which include a plurality of second level transmitters in turn connected via respective second networks to respective pluralities of second level network receivers, said method comprising the steps of:

operating said first transmitter to transmit data blocks over said first network; and
20

operating each of said second level transmitters to forward data blocks over the corresponding second level network

said method being characterised in that:

25

said second level transmitters have access to respective second level network directories, each second level network directory listing data block type identifiers and corresponding multicast addresses for the second level network to which the directory relates; and

30 further operating said first transmitter to include a data block type identifier in each data block;

said second level transmitters forwarding said data blocks by:

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- a) extracting said type identifier from a data block received from the first transmitter;
- b) examining the appropriate second level network directory to find the second level network multicast address corresponding to said type identifier;
- 5 c) addressing said data block to said second level network multicast address; and
- d) transmitting said data block over said second level network.

The term internetwork is used here to mean a plurality of interconnected networks (which themselves therefore form a larger network). Here the networks are
10 arranged into a hierarchy, the connections between the first and second level networks being made by respective second level transmitters. It will be realised that the second level network directories are similar to the group directories mentioned above and result in a corresponding reduction in the number of multicast addresses that must be handled in the larger network.

15

In hierarchical embodiments of the present invention one or more of the smaller networks can be operated in accordance with one or more of the above embodiments.

- 20 In embodiments of the second aspect of the present invention, the transmitter at one level of the hierarchy (upper transmitter) places a data block type identifier in each data block that it transmits – the transmitter at the next level down in the hierarchy (the lower transmitter) is provided with access to a directory which sets out the multicast addresses associated with each data block type identifier. On
25 receiving a data block from the upper transmitter, the lower transmitter reads the data block type identifier, finds the multicast address associated with that data block type identifier, re-addresses the data block accordingly, and forwards the data block across its network. The hierarchy can have any number of levels.

- 30 In a hierarchical arrangement a request from a recipient to be sent data blocks of a particular type need only travel up the hierarchy as far as the intermediate transmitter that already receives data blocks of that type. This advantageously reduces network traffic.

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Those skilled in the art will realise that where the smaller networks operate in accordance with the Internet Protocol suite, administrative scoping (a technique which limits the nodes through which a multicast message may pass) can be used to enable the re-use of multicast addresses in separate smaller networks, thereby
5 decreasing further the number of multicast addresses that need be handled by the larger network.

By having the transmitters intermediate the smaller networks cache data blocks for a predetermined length of time, re-transmission of the data block can be limited to
10 the smaller network in which the transmission failure occurred. Similarly, flow-control can be restricted to a smaller network that is experiencing congestion.

It will be realised that transmitters at all levels of the hierarchy can be provided with a directory listing multicast addresses for the smaller networks they transmit
15 data blocks over.

Thus, according to a third aspect of the present invention, there is provided a method of operating a packet network to transmit a plurality of packets to respective different subsets of possible recipients, said network comprising a
20 plurality of interconnected nodes, said method comprising and being characterised by the steps of, for one or more subnetworks of the network, assigning a common local multicast address for use in said subnetwork to packets which are destined for different subsets of possible recipients but which share a subset of forwarding nodes within said subnetwork.

25

According to a fourth aspect of the present invention, there is provided a data block forwarding apparatus operable to forward data blocks received from a first network over a second network to a set of second network recipients selected from a plurality of second network receivers, said apparatus comprising:

30

an input connectable to said first network to receive data blocks;

an output connectable to said second network;

one or more processors;

a program store storing instructions executable by said one or more processors to forward the data block via said output over said second network;

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said data block forwarding apparatus being characterised by:

- said received data blocks containing a data block type identifier;
- 5 a forwarding database store storing data representing data block type identifiers and corresponding sets of recipients;
- a directory store storing data representing sets of recipients and corresponding multicast addresses; and
- said set of instructions being executable to forward the data block by:
- 10 a) reading said data block type identifier from a data block received from said first network;
- b) examining said forwarding database store to find the set of recipients corresponding to said data block type identifier;
- 15 c) examining said directory store to find the multicast address associated with the set of recipients found in step b); and
- d) re-addressing said data block to the multicast address found in step c).

Such apparatus provides an transmitter intermediate two levels of the hierarchy
20 mentioned above.

There now follows, by way of example only, a description of specific embodiments of the present invention. The description is to be read in conjunction with the accompanying drawings, in which:

Figure 1 is a schematic view of an intranet;

Figures 2A and 2B show multicast address allocations for subsections of the
5 intranet;

Figure 3 shows the format of an application layer packet assembled in accordance with one embodiment of the present invention;

10 Figures 4A, 4B and 4C illustrate the building up of subject-to-address mappings used in the embodiment; and

Figures 5A, 5B, 5C and 6 illustrate more developed subject-to-address mappings.

15 A corporate intranet (Figure 1) comprises a central site area network (CS) which includes an IEEE 802.3 local area network L1 to which a sports news computer N, an organisation-level application packet forwarding computer P and a gateway router R1 are connected. The gateway router R1 is also connected to the Internet and an Asynchronous Transfer Mode (ATM) network A.

20 The ATM network A connects the gateway router R1 to three site area ingress routers (R3, R8, R13). Each of the three site area ingress routers (R3, R8, R13) is also connected to a respective one of three site-level internetworks. Each site level internetwork comprises a Fibre Distributed Data Interface (FDDI) backbone
25 local area network (F1,F2,F3) which is connected by three building routers (R5 to R7; R10 to R12; R15 to R17) to three respective IEEE 802.3 building local area networks (L2 to L4, L5 to L7 and L8 to L10). Also connected to the FDDI network (F1 to F3) is an application layer packet forwarding computer (C1, C2, C3).

30 Each building area network (L2 to L4, L5 to L7 and L8 to L10) is also connected to a number of personal computers (PCs).

The sports news computer N at the organisation's central site includes a database containing a number of news articles about various sports. These news articles are updated every few hours.

- 5 One PC (H1 to H9) in each of the building area networks (L2 to L10) is designated as a news reader PC.

In configuring the intranet, each of the application layer packet forwarding computers (C1, C2, C3) is manually configured with a site area multicast directory
 10 (Figure 2A). The directory lists possible sets of recipients (left-hand column) and corresponding IEEE 802 addresses (right-hand column). IEEE 802 addresses can be forwarded over both the FDDI network (F1 to F3) and the building area IEEE 802.3 local area networks (L2 to L10). Those skilled in the art will realise that the building routers (R5 to R7; R10 to R12; R15 to R17) are therefore acting as
 15 bridges in the present embodiment.

Further configuration involves the network interface cards of the news reader hosts H1 to H9 being configured to ensure that frames having addresses which relate to sets of recipients that include that host are passed from the network
 20 interface card to the host itself. For example (see Figure 2A), the network interface card of news reader host H1 which is present in the sets (H1,H2,H3), (H1,H2), (H1,H3) and (H1) is configured to forward frames addressed to IEEE 802 addresses C000:0000:0001, C000:0000:0002, C000:0000:0003 (which those skilled in the art will recognise as multicast addresses) and also unicast address
 25 0400:0000:0001.

Similar procedures are carried out in relation the other site area internetworks (S2, S3).

- 30 The next stage in the configuration procedure is to supply a set-to-IP address conversion table to the organisation level packet forwarding computer P. This table is similar to that (Figure 2A) supplied to each of the site-level forwarding computers (C1, C2, C3), but the sets in this table are sets of site-level forwarding computers (C1,C2,C3) rather than sets of news reader PCs (H1 to H9). Also IP

addresses are used since the ATM network A is unable to forward IEEE 802.3 frames. One possible example of the contents of the set-to-IP address conversion table stored in the organisation-level forwarding computer P is shown in Figure 2B.

- 5 Further, each site area ingress router (R3,R8,R13) is configured to unicast packets having an appropriate one of the addresses in Figure 2B to the site-level forwarding computer (C1,C2,C3). For example, site area ingress router R8 is configured to send packets having one of the first, second, fourth or fifth addresses shown in Figure 2B to the site-level forwarding computer C2.

10

Those skilled in the art will realise that this will result in gateway router R1 having four news application-related multicast addresses in its multicast routing table. Each entry will include a mapping from the IP address to a corresponding VCI/VPI (Virtual Path Identifier/ Virtual Circuit Identifier) pair.

15

Once this configuration has taken place, users of the news reader PCs (H1 to H9) can subscribe to news articles about their chosen sport. Each news reader PC is controlled by a news reader program (installed on the computer from compact disc D3) which allows a user to select (using a Graphical User Interface for example) sports for which they would like to receive news articles held in the news computer N. On such a request being made the program controls the PC to send a request packet (Figure 3) for news articles concerning the chosen sport to site-level forwarding computer (C1, C2, C3).

20

- 25 In the composition of the request packet, the news reader program controls the computer to provide data indicating that a file is sought 5, an indication that the files relates to a news application 10 and an identification of the subject 20 about which the news article is sought. The computer then operates in a conventional manner to successively add to the data: a UDP header 30, an IP header 40 and an
30 IEEE 802 header 60 and trailer 70.

On receiving the request, the site-level application packet forwarding computer (C1, C2, C3) is controlled by a forwarding table updating program (installed on that computer from compact disc D2) to establish which of the on-site news reader PCs

(H1 to H9) are now interested in news articles about the chosen sport. If the request is not already being met then the forwarding table is updated accordingly. Those skilled in the art will be able to generate suitable table updating program.

- 5 Were news reader PC H1 to send, for example, a 'subscribe' request for news articles concerning the subject 'pool', then the site-level forwarding computer operating under control of the program would update the forwarding table as shown in Figure 4A. It will be seen that the subject 'pool' is associated with H1's unicast IEEE 802 address.

10

Once the table has been updated, the packet forwarding program controls the site-level application packet forwarding computer (C1, C2, C3) to check to see whether the forwarding computer (C1, C2, C3) already subscribes to the requested subject. If it does not then the site-level forwarding computer is further controlled to send a

- 15 request to the organisation-level forwarding computer P.

On receipt of that request, the organisation-level forwarding computer P is controlled by a program similar to that described above in relation to the site-level forwarding computer (installed on the computer P from compact disc D1) to

- 20 establish which set of the site-level forwarding computers (C1,C2,C3) now requires news articles concerning the selected subject to be sent. The organisation-level forwarding computer is then further controlled to update its forwarding table accordingly. Again programs to cause this operation can be easily generated by those skilled in the art.

25

To continue with the earlier example, in response to the request from site-level application packet forwarding computer C1 for 'pool' articles, the organisation-level computer will update its forwarding table as shown in Figure 4B. It will be seen that the forwarding table indicates that news articles concerning 'pool' are to

- 30 be unicast to the IP address of site-level forwarding computer C1.

Using similar procedures to those described above, a request for articles relating to 'pool' might later be received by site-level forwarding computer C1 from news reader PC H2. The site-level packet forwarding computer C1 is therefore

controlled to amend its forwarding table to reflect the fact that both news reader H1 and news reader H2 should be sent articles concerning 'pool'. The site-level forwarding computer will therefore update its forwarding table as shown in Figure 4C.

5

It will be seen that as two news reader PCs (H1, H2) have now requested articles relating to a subject, the IEEE 802 address associated with the subject is a multicast address (in the notation generally used, IEEE 802 multicast addresses begin with the hexadecimal number C000 and IEEE 802 unicast addresses begin with hexadecimal number 0400).

10

It will be realised by those skilled in the art that 'unsubscribe' requests could also easily be implemented.

15 After a number of requests have been received from the various news reader PCs (H1 to H9) in the intranet, the forwarding tables will associate several subjects with each multicast or unicast address.

For example, the forwarding tables of site-level forwarding computers C1, C2 and C3 might be as shown in Figures 5A, 5B and 5C respectively. At the same time, the forwarding table associated with organisation-level forwarding computer P might be as shown in Figure 6.

20

On receiving a news article, each of the site-level forwarding computers (C1,C2,C3) is controlled by the forwarding program to extract both the news article (Figure 3, 50) and subject 20 from the payload of the incoming UDP protocol data unit and send another UDP protocol data unit containing the news article to the IEEE 802 address associated with the subject 20 in the table. Programs executable to control the forwarding computers to behave in this manner can be generated by those skilled in the art.

25

30

To give an example, were the organisation-level computer P to receive a new news article concerning 'golf' and were the forwarding tables to be as shown in Figures 5A, 5B, 5C and 6 then the organisation-level forwarding computer P would be

controlled to send the packet to IP address 229:274:1:27 (the multicast address corresponding to all three site-level forwarding computers (C1,C2,C3)). On receiving that packet the router R1 would fragment the IP packet and, in accordance with the routing table entries made at the configuration stage, send

5 the fragments as a stream of ATM cells having a corresponding VPI/VCI pair as mentioned above. Once the packet arrives at the second site-level forwarding computer C2, that forwarding computer C2 is controlled to reassemble the IP packet, extract the subject information (golf) from its payload and forward the IP packet in an appropriately addressed IEEE 802 frame. The third line of Figure 5B

10 shows the associated IEEE 802 address. Owing to the earlier configuration stage, the network interface cards of the hosts H4 and H6 pass the packet to the appropriate news reader hosts (H4 and H6 in this case) and then process the packet to present the news item to the user.

15 By providing the forwarding computers with further programs, they could be rendered operable to allow efficient 'cross-posting'. 'Cross-posting' involves the sending of a message which concerns a plurality of subjects. The subject field of a forwarded packet might contain an identification of a pair of subjects, for example. It can be envisaged that the site-level forwarding computers (C1,C2,C3) could

20 operate under control of the further program to identify the union of the sets of recipients for the two subjects and then forward the news item to the interested hosts. For example, assume the sets of recipients interested in various subjects are as shown in Figures 5A, 5B, 5C and 6, and that forwarding computer C1 has received a news item that relates to both hockey and golf. The forwarding

25 computer can easily be programmed to determine that both H1 and H3 are interested in the news item and thereafter send the news item to the IEEE 802 address that corresponds to the group (H1,H3) namely C000:0000:0003.

Similarly, in relation to reliable multicast protocol, a further program could be used

30 to control the forwarding computers to re-send messages only to the subset of recipients who did not acknowledge the message. Again, using the techniques of the above embodiment, the selection of an appropriate multicast/unicast address would be trivial.

In the above embodiment, the configuration of the network interface cards to pass appropriately addressed multicast frames to the news reader hosts H1 to H9 themselves is carried out manually. This configuration could be done automatically by having the site-level forwarding computers (C1,C2,C3) unicast configuration
5 messages to the news reader hosts (unicast addresses are available from the configuration tables (e.g. the last three lines in Figure 2A).

An alternative embodiment of the present invention does not have the site-level forwarding computers (C1, C2, C3). At the configuration stage the organisation-
10 level forwarding computer P is provided with a directory that lists multicast addresses for each of the 500 or so possible sets of news reader PC recipients. It will be realised that such an embodiment requires the central router R1 to have routing table entries for all those addresses. However this still represents an improvement over conventional methods of using multicast which involve a
15 multicast address being provided in relation to each subject to which a news item relates. The USENET service for example provides information on about 27,000 subjects. Hence, were a similarly comprehensive news service to be provided over the corporate intranet (Figure 1) using conventional techniques the central router would require 27,000 entries in its multicast routing table. It will be seen how the
20 use of a multicast directory enables this to be reduced to 500 multicast routing entries in this alternative embodiment.

However, the first-described embodiment reduces the number of multicast routing entries in the gateway router R1 even further. By arranging the corporate intranet
25 as a hierarchy, with the ATM network A providing the upper level network and the site internetworks (S1,S2,S3) providing the lower level networks, the central router need only have as many multicast forwarding table entries as there are selections of lower level networks (in the above described embodiment only four multicast entries and three unicast entries need be stored in central router R1).

30

Hence, it will be seen how the use of a directory can reduce the burden on the intranet and how the use of multiple directories can reduce the burden on the network still further.

The above advantages are amplified in embodiments that have more than two hierarchical layers in the forwarding structure. For example, an embodiment can be envisaged in which town-level and country-level forwarding computers are used.

5

The above embodiment only enables the transmission of news articles from the news computer N to the news reader PCs (H1 to H9). A 'publish and subscribe' service could be provided by programming the news reader PCs (H1 to H9) to be operable to unicast messages containing news articles input by their users to the
10 news computer N. These messages could then be sent back down the hierarchy as described above.

A yet further embodiment of the present invention is similar to the alternative embodiment mentioned above in that the site-level forwarding computers
15 (C1,C2,C3) are not required. Nevertheless the number of multicast addresses handled by the network can be reduced without arranging the network into a hierarchy. To do this the central forwarding computer P is provided with a separate directory for each of the internetworks (S1,S2,S3). It will be realised that each of those directories will only require four multicast addresses.

20

More complex arrangements which are effective to obviate the need to send messages to the news computer at the top of the hierarchy might also be used.

In other embodiments many different applications might be supported. For
25 example, by replacing the subject field of the above embodiment with a field that indicated both an application and a subject, the embodiment could support a plurality of subject-based applications. One such application is the announcement of multicast sessions. Session announcement could include a subject identifier similar to that currently seen in Network News applications (e.g.
30 comp.internet.ietf.conference). It will be clear how the above embodiment might be altered to allow a user to selectively receive only those announcements which concern subjects in which he is interested. Such a facility could be provided instead of or in addition to the 'push' news service described above.

ART 34/1977

16

CLAIMS

1. A method of operating a transmitter to transmit a data block to a plurality of recipients selected from a plurality of receivers connected to said transmitter via a
5 multicast-capable network, said method comprising:
- finding a multicast address to which said data block is to be sent, said multicast address being suitable for use in said multicast-capable network;
- 10 addressing said data block to said multicast address; and
- transmitting said data block over said network;
- said method being characterised in that:
- 15 said transmitter has access to one or more directories storing:
- a) a plurality of lists of receiver identifiers; and
- 20 b) for each of said lists, a multicast-address suitable for use in said multicast-capable network; and
- said multicast address finding step comprises:
- 25 a) obtaining a list of receiver identifiers, said list corresponding to the set of recipients to which said data block is to be sent; and
- b) examining said one or more directories to find a multicast address corresponding to the list of receiver identifiers obtained in step a).
- 30
2. A method according to claim 1 wherein:
said obtaining step comprises:

- a) receiving one or more indications that an earlier data block addressed to a selected set of receivers was not successfully received by one or more of said set of receivers; and
- b) analysing said indications to generate a list of receiver identifiers, each receiver identifier in said list identifying a recipient that did not successfully receive said earlier data block.

3. A method according to claim 1 wherein:
said obtaining step involves:

- 10 a) determining that a general data block is to be sent to recipients included in one or more of a selected plurality of said lists; and
- b) unifying said selected plurality of lists to find a unified list of receiver identifiers.

4. A method according to claim 1 wherein said transmitter further has access to type data listing data block type identifiers, and a list of recipient identifiers for each data block type identifier, wherein said obtaining step involves:

- a) finding a type identifier associated with said data block; and
- b) examining said type data to find a list of receiver identifiers associated with said type identifier.

20

5. A method according to claim 4 wherein said type identifier is a subject-matter identifier indicating the subject-matter to which the data in the data block relates.

6. A method according to claim 4 or 5 wherein said type identifier finding step involves extracting a type identifier from a data block received at said transmitter.

7. A method according to claim 1 wherein said transmitter has access to a plurality of group directories for respective groups of receivers.

30 8. A method according to any preceding claim wherein the format of said multicast address is in accordance with the Internet Protocol suite.

9. A transmitter operable to transmit data blocks to a set of recipient computers selected from a plurality of receiver computers connectable to said transmitter computer via a multicast-capable network, said apparatus comprising:

5 an output connectable to said network;

one or more processors;

a program store storing instructions executable by said one or more processors to
10 transmit the data block via said output over said network;

said set of instructions being executable to transmit the data block by:

finding a multicast address to which said data block is to be sent, said multicast
15 address being suitable for use in said multicast-capable network;

addressing said data block to said multicast address; and

transmitting said data block over said network;

20

said transmitter being characterised by:

having access to a directory store storing:

25 a) list data representing lists of receiver identifiers; and

b) for each of said lists, a multicast address suitable for use in said multicast-capable network; and

30 said set of instructions being executable to find said multicast address by:

a) obtaining a list of receiver identifiers, said list corresponding to the set of recipients to which said data block is to be sent; and

19

b) examining said one or more directories to find a multicast address corresponding to the list of receiver identifiers obtained in step a).

10. A transmitter according to claim 9 wherein:

5

said transmitter further has access to type data listing data block type identifiers, and a list of recipient identifiers for each data block type identifier; and
said set of instructions being further executable to obtain said list of receiver identifiers by:

- 10 a) finding a type identifier associated with said data block; and
b) examining said type data to find a list of receiver identifiers associated with said type identifier.

- 15 11. A program storage device readable by a processing apparatus, said device embodying a program of instructions executable by the processing apparatus to perform method steps for transmitting a data block over a network to a set of recipients selected from a plurality of receivers, said method steps comprising steps according to any one of claims 1 to 8.

20

12. A computer program comprising computer program code adapted to perform the method steps of any one of claims 1 to 8 when said program is executed by a computer.

25

ABSTRACT
MULTICASTING

A packet network and method of operating the same is described. The network is
5 arranged into a hierarchy, having one organisation-level portion (CS, P, R2) and
three site-level portions (S1, S2, S3). By using forwarding computers and
assigning multicast addresses in respect of each portion, the total number of
multicast addresses required to send multicast messages to all possible subsets of
potential recipients is reduced. This alleviates routers in the network of the burden
10 associated with storing and processing a large amount of multicast addresses.

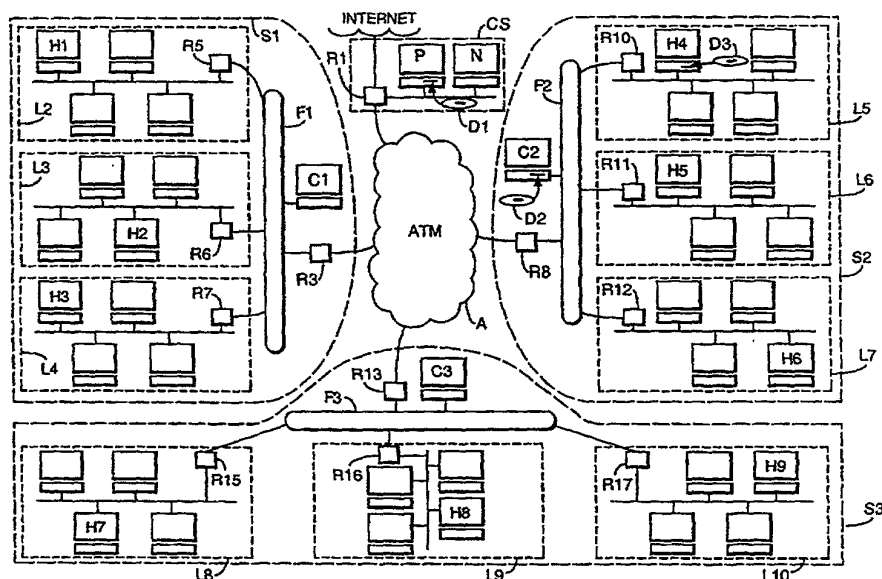
Figure (1)

25570con.doc



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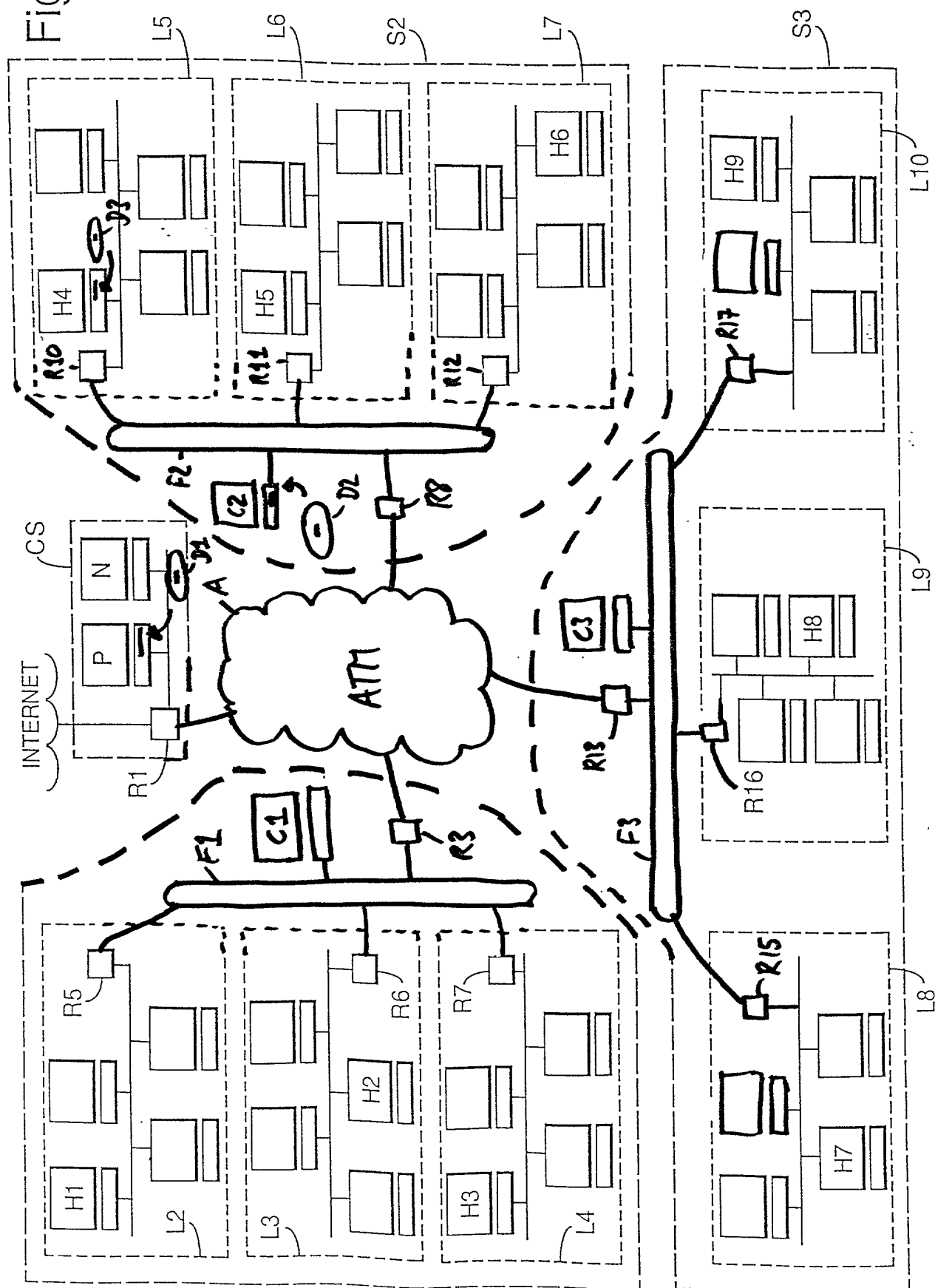
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i) Title: HIERARCHICAL MULTICASTING

(57) Abstract

A packet network and method of operating the same is described. The network is arranged into a hierarchy, having one organisation-level portion (CS, P, R2) and three site-level portions (S1, S2, S3). By using forwarding computers and assigning multicast addresses in respect of each portion, the total number of multicast addresses required to send multicast messages to all possible subsets of potential recipients is reduced. This alleviates routers in the network of the burden associated with storing and processing a large amount of multicast addresses.

Fig. 1.



Members of Set (site level)	IEEE 802 address
H1, H2, H3	C000:0000:0001
H1, H2	C000:0000:0002
H1, H3	C000:0000:0003
H2, H3	C000:0000:0004
H1	0400:0000:0001
H2	0400:0000:0002
H3	0400:0000:0003

(directory in site-level forwarding computer C1)

Figure 2A

Members of Set	IP address
C1, C2, C3	229.274.1.27
C1, C2	229.274.1.28
C1, C3	229.274.1.29
C2, C3	229.274.1.30
C1	147.144.101.2
C2	147.144.102.2
C3	147.144.103.2

(directory in organisation-level forwarding computer P)

Figure 2B

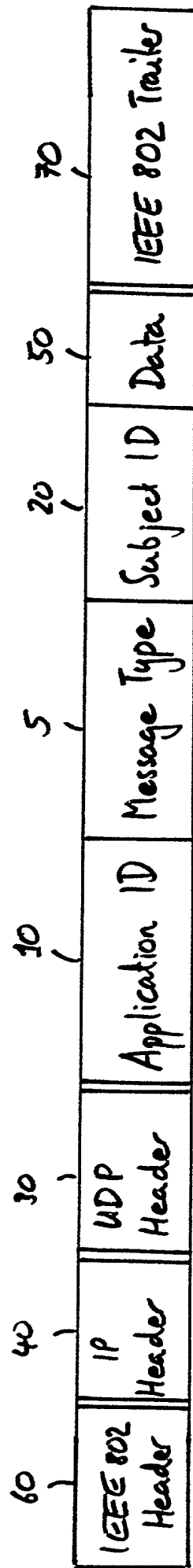


Figure 3

Members of Set (site-level)	IEEE 802 address	Subjects subscribed to
H1, H2, H3	C000:0000:0001	none
H1, H2	C000:0000:0002	none
H1, H3	C000:0000:0003	none
H2, H3	C000:0000:0004	none
H1	0400:0000:0001	pool
H2	0400:0000:0002	none
H3	0400:0000:0003	none

(subject data in site-level forwarding computer C1)

Figure 4A

Members of Set (organisation-level)	IP address	Subjects subscribed to
C1, C2, C3	229.274.1.27	none
C1, C2	229.274.1.28	none
C1, C3	229.274.1.29	none
C2, C3	229.274.1.30	none
C1	147.144.101.2	pool
C2	147.144.102.2	none
C3	147.144.103.2	none

(subject table in organisation-level forwarding computer P)

Figure 4B

Members of Set (site-level)	IEEE 802 address	Subjects subscribed to
H1, H2, H3	C000:0000:0001	none
H1, H2	C000:0000:0002	pool
H1, H3	C000:0000:0003	none
H2, H3	C000:0000:0004	none
H1	0400:0000:0001	none
H2	0400:0000:0002	none
H3	0400:0000:0003	none

(subject table in site-level forwarding computer C1)

Figure 4C

Members of Set (site-level)	IEEE 802 address	Subjects subscribed to
H1, H2, H3	C000:0000:0001	pool
H1, H2	C000:0000:0002	skiing
H1, H3	C000:0000:0003	none
H2, H3	C000:0000:0004	weight-lifting; wrestling
H1	0400:0000:0001	cycling; golf
H2	0400:0000:0002	rugby
H3	0400:0000:0003	hockey

(subject table in site-level forwarding computer C1)

Figure 5A

Members of Set (site-level)	IEEE 802 address	Subjects subscribed to
H4, H5, H6	C000:0000:0011	swimming
H4, H5	C000:0000:0012	fishing, pool
H4, H6	C000:0000:0013	golf
H5, H6	C000:0000:0014	none
H4	0400:0000:0011	tennis
H5	0400:0000:0012	basketball
H6	0400:0000:0013	hockey

(subject table in site-level forwarding computer C2)

Figure 5B

Members of Set (site-level)	IEEE 802 address	Subjects subscribed to
H7, H8, H9	C000:0000:0021	athletics
H7, H8	C000:0000:0022	boxing
H7, H9	C000:0000:0023	none
H8, H9	C000:0000:0024	badminton
H7	0400:0000:0021	horse-riding; cricket; squash
H8	0400:0000:0022	basketball; windsurfing; wrestling; yachting
H9	0400:0000:0023	golf; gymnastics

(subject table in site-level forwarding computer C3)

Figure 5C

Members of Set (organisation-level)	IP address	Subjects subscribed to
C1, C2, C3	229.274.1.27	golf
C1, C2	229.274.1.28	pool, hockey
C1, C3	229.274.1.29	wrestling
C2, C3	229.274.1.30	basketball
C1	147.144.101.2	skiing, rugby, cycling, weightlifting
C2	147.144.102.2	swimming, fishing, tennis
C3	147.144.103.2	athletics, boxing, badminton, horse-riding, cricket, squash, windsurfing, yachting, gymnastics

(subject matter in organisation-level forwarding computer P)

Figure 6

"Do not RE-TRADE"

RULE 63 (37 C.F.R. 1.63)
DECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: Multicasting
the specification of which (check applicable box(es)):

[] is attached hereto.

[] was filed on _____ as U.S. Application Serial No. _____

[x] was filed as PCT international application No. PCT/ GB99/03114 on 17 September 1999

and (if applicable to U.S. or PCT application) was amended on _____

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 C.F.R. 1.56. I hereby claim foreign priority benefits under 35 U.S.C. 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed or, if no priority is claimed, before the filing date of this application:

Prior Foreign Application(s):
Application Number

Country

Day/Month/Year Filed

98307623.3

Europe

18 September 1998

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

Application Number

Day/Month/Year Filed

I hereby claim the benefit under 35 U.S.C. 120/365 of all prior United States and PCT international applications listed above or below and, insofar as the subject matter of each of the claims of this application is not disclosed in such prior applications in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior applications and the national or PCT international filing date of this application:

Prior U.S./PCT Application(s):
Application Serial No.

Day/Month/Year Filed

Status: patented
pending, abandoned

PCT/GB99/03114

17 September 1999

Pending

I hereby declare that all statements made herein of my own knowledge are true and that statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. And I hereby appoint NIXON & VANDERHYE P.C., 1100 North Glebe Road, 8th Floor, Arlington, VA 22201-4714, telephone number (703) 816-4000 (to whom all communications are to be directed), and the following attorneys thereof (of the same address) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent: Arthur R. Crawford, 25327; Larry S. Nixon, 25640; Robert A. Vanderhye, 27076; James T. Hosmer, 30184; Robert W. Faris, 31352; Richard G. Besha, 22770; Mark E. Nusbaum, 32348; Michael J. Keenan, 32106; Bryan H. Davidson, 30251; Stanley C. Spooner, 27393; Leonard C. Mitchard, 29009; Duane M. Byers, 33363; Paul J. Henon, 33626; Jeffrey H. Nelson, 30481; John R. Lastova, 33149; H. Warren Burnam Jr., 29366; Thomas E. Byrne, 32205; Mary J. Wilson, 32955; J. Scott Davidson, 33489; Alan M. Kagen, 36178; William J. Griffith, 31260; Robert A. Molan, 29834.

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